

FILE MAINTENANCE AND DISPOSITION PLAN Date Prepared: 12/04/06 Date Updated: 01/26/07, 2/28/07, 03/14/07, ORC, 8/27/07, 7/22/08					
OFFICE NAME: Office of Management Programs.		OFFICE CONTACT PERSON: Barbara Legas. (206) 553-1250		REGIONAL RECORDS MANAGER: Joyce Aoyama	
Total Volume of Records for this File Station:		Total number of File Drawers: Legal size: Letter size:			
FILE PLAN					
AGENCY FILE CODES	OLD FILE CODE	AGENCY CATEGORY TITLE SERIES TITLE	DISPOSAL INSTRUCTIONS	NARA DISPOSAL AUTHORITY	LOCATION
104-010-01 233	EPA 233 a, b	Disaster Response: Item a(1): Presidential declared major disasters - Nonelectronic Item a(2): Presidential declared major disasters - Electronic Item a(3): Electronic copy of records transferred to the National Archives Item b: Other Presidential declared emergencies Item c: Local EPA emergencies	Item a(1): Permanent - Close inactive records upon completion of each major benchmark. Transfer to the National Archives 20 years after file closure. Item a(2): Permanent - Close inactive records upon completion of each major benchmark. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time. Item a(3): Disposable - Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives. Item b: Disposable - Close inactive records upon completion of final inspection. Destroy 10 years after file closure. Item c: Disposable - Close upon completion of all clean up and restoration activities. Destroy 10 years after file closure.	N1-412-07-61 Status: Final, 2/28/2011	
108 005		Special Studies	Item a: Destroy 7 years after file closure.	N1-412-07-1/1 Status: Final, 03/30/2007	
108-025-08 024	SUPR 024a	Cost Recovery Records	Item a: Destroy 30 years after file closure.	N1-412-06-18 Status: Final, 10/31/2007	
108-025-08 497		Discrimination Complaints - External	Item a: Destroy 10 years after file closure.	Status: Development, 07/31/2007 Contact Joyce Aoyama X3-2595 for more details.	
205 003		Grants and Other Program Support Agreements	Item a: Destroy 10 years after file closure.	N1-412-07-34 Status: Final 11/30/208	
205 274		Unsuccessful Grant Application Files	Item a: Destroy 3 years after file closure.	GRS 3/13 Status: Final, 02/14/2007	
301-093 006	PROG 006b	Program Management Files - Correspondence/Subject Files Item b: Other than senior officials	Item b: Disposable Close inactive records at end of calendar year. Destroy 5 years after file closure.	N1-412-06-6/2 Status: Final 12/31/09	
302-095 602	SECU 602	<u>Continuity of Operations (COOP) Plans</u> Item a: Record Copy Item b: Background Documentation	Item a: Disposable Close inactive records when superseded or canceled. Destroy 5 years after file closure. Item b: Disposable Close inactive records when superseded or canceled. Destroy 3 years after file closure.	N1-412-07-54/7 (Item a) GRS 18/27 (Item b) Status: Final 12/31/2012	
302-095 603	EPA 603	Continuity of Operations (COOP) Exercises	Item a: Destroy 5 years after file closure. Item b: Destroy 3 years after file closure.	N1-412-07-54/8 (Item a) GRS 18/28 (Item b) Status: Final, 08/31/2008	

AGENCY FILE CODES	OLD FILE CODE	AGENCY CATEGORY TITLE SERIES TITLE	DISPOSAL INSTRUCTIONS	NARA DISPOSAL AUTHORITY	LOCATION
303-100 132	CORR 132a	Congressional Correspondence			
304-104-02 145	EPA 145	<u>Program Development Files</u> Item a(1): Record copy - Nonelectronic Item a(2): Record copy - Electronic Item a(3): Electronic copy of records transferred to the National Archives	Item a(1): Permanent Close inactive records at the end of the activity, project, or topic. Transfer to the National Archives 20 years after file closure. Item a(2): Permanent Close inactive records at the end of the activity, project, or topic. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time. Item a(3): Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.	N1-412-06-29 Status: Final 1/31/2011	
304-107 105		<u>Management Studies</u> Item a(1): Record copy – Non electronic Item a(2): Record copy - Electronic	Item a(1): Permanent Close file after completion of the study or report or when canceled. Transfer to the National Archives in 5 year blocks 20 years after file closure. Item a(2): Permanent Close file after completion of the study or report or when canceled. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.	N1-412-07-2/2 Status: Final, 1/31/2011	
305-109-02-01 030	FOIA 030 >	Freedom of Information Act (FOIA) Requests Files	a(1), a(2)(a), a(3)(a), a(3)(b), b		
305-109-02-01 033	FOIA 033 a, b	033 Freedom of Information Act (FOIA) Control Files			
305-109-02-04 140	EPA 140	<u>Speeches and Testimony</u> Item a(1): Senior officials - Nonelectronic Item a(2): Senior officials - Electronic Item a(3): Senior officials - Electronic copy of records transferred to the National Archives Item b: Other federal employees when the speeches are not necessary to document the Agency or its programs	Item a(1): Permanent Close inactive records at end of calendar year. Transfer to the National Archives 10 years after file closure. Item a(2): Permanent Close inactive records at end of calendar year. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time. Item a(3): Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives. Item b: Disposable Close inactive records at end of calendar year. Destroy 5 years after file closure.	N1-412-06-8 Status: Final 1/31/2011	

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305-109-02-04 200	EPA 200	<u>Training Material</u> Item a: Routine training materials Item c(1): Mission-related training materials - Nonelectronic Item c(2): Mission-related training materials - Electronic Item c(3): Mission-related training materials - Electronic copy of records transferred to the National Archives	Item a: Disposable - Close inactive records after course or material is superseded. Destroy 5 years after file closure. Item c(1): Permanent - Close inactive records after course or material is superseded. Transfer to the National Archives in 5 year blocks 20 years after file closure. Item c(2): Permanent - Close inactive records after course or material is superseded. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time. Item c(3): Disposable - Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.	N1-412-06-11 Status: Final, 4/30/2012	
305-109-01 258	CONT 258 a, b, c	<u>Final Deliverables and Reports</u> Item a(1): Environmental programs, except Superfund site-specific - Nonelectronic Item a(2): Environmental programs, except Superfund site-specific - Electronic Item a(3): Environmental programs, except Superfund site-specific - Electronic copy of records transferred to the National Archives Item b: Superfund site-specific Item c: Non-environmental programs	Item a(1): Permanent Close inactive records upon completion of project. Transfer to the National Archives 20 years after file closure. Item a(2): Permanent Close inactive records upon completion of project. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time. Item a(3): Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives. Item b: Disposable Close inactive records upon completion of project. Destroy 30 years after file closure. Item c: Disposable Close inactive records upon completion of project. Destroy 7 years after file closure.	N1-412-06-27 Status: Final, 2/28/2011	
306-112 007	DIRE 007 a, b	<u>Directives and Policy Guidance Documents Issued by Specific Programs and Regions</u> Item a(1): Published or released to the public and related background materials - Nonelectronic Item a(2): Published or released to the public and related background materials - Electronic Item b: Unpublished or not released to the public and related background materials	Item a(1): Permanent Close inactive records upon issuance or publication or when superseded. Transfer to the National Archives in 5 year blocks, 20 years after file closure. Item a(2): Permanent Close inactive records upon issuance or publication or when superseded. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time. Item b: Disposable Close inactive records upon decision to not publish or issue. Destroy 10 years after file closure.	N1-412-06-7 Status: Final, 12/31/2010	

AGENCY FILE CODES	OLD FILE CODE	AGENCY CATEGORY TITLE SERIES TITLE	DISPOSAL INSTRUCTIONS	NARA DISPOSAL AUTHORITY	LOCATION
306-114 149		Regulations, Standards, & Guidelines	Item a(1): Transfer to the NARA 20 years after file closure. Item a(2): Transfer to the NARA 5 years after file closure Item a(3): Delete after electronic record copy is successfully transferred to the NARA. Item b: Destroy 10 years after file closure.	N1-412-07-2/6 Status: Final, 02/29/2008	
401 110	ADMI 110a	Office Administrative Files	Item a: Disposable Destroy when 2 years old	GRS 23/1 Status: Final 1/31/2009	
401 111	EPA 111 b, c	<u>Calendars, Schedules, and Logs of Daily Activities</u> Item b: Other federal employees Item c: Routine materials	Item b: Disposable Close at end of calendar year. Destroy 2 years after file closure. Item c: Disposable Close at end of calendar year. Destroy when no longer needed.	N1-412-06-5 Status: Final 12/31/2010	
401 127	CORR 127a	General Correspondence Files			
401 167		Interagency Committee Records Not Related to FACA	Item a: Destroy when 3 years old.	GRS 26/3 Final, 01/16/2007	
401 186	EPA 745a	Ad Hoc Printouts	Item a: Destroy when no longer needed for administrative, legal, audit, or other operational purposes, provided the printouts do not contain substantive information, such as substantive annotations, that is not included in the electronic records.	GRS 20/16 Status: Final, 01/31/2008	
401 187		<u>Interagency and External Committees</u> Item a: Committees related to EPA's environmental missions Item b: Committees unrelated to EPA's environmental missions	Item a: Destroy 5 after file closure. Item b: Destroy/delete when no longer needed for administrative purposes.	N1-412-07-1/8 (Item a) GRS 26/1a (Item b) Status: Final, 12/31/2009	
401 745	EPA 745a	Ad Hoc Printouts	Item a: Destroy when no longer needed for administrative, legal, audit, or other operational purposes, provided the printouts do not contain substantive information, such as substantive annotations, that is not included in the electronic records.	GRS 20/16 Status: Final, 01/31/2008	
402-126 276	PERS 276 a(1), a(2), b	Time and Attendance Records			
403-251-02 570	PERS 570a	Intergovernmental Personnel Act (IPA) Assignment Files Item a: Record copy	Item a: Disposable Close inactive records upon termination of assignment. Destroy 2 years after file closure.	N1-412-07-62/5 Status: Final, 03/31/2009	
403-254 279	EPA 279 >	Leave Records Item a(1): Leave application files - If employee initials time card or equivalent Item a(2): Leave application files - If employee has not initialed time card or equivalent Item b(2): Leave record - Maintained by creating office	Item a(1): Disposable Destroy at end of following pay period. Item a(2): Disposable Destroy after GAO audit or when 3 years old, whichever is sooner. Item b(2): Disposable Close inactive records when signed by supervisor. Destroy 3 years after clo	GRS 2/6a (Item a(1)) GRS 2/6b (Item a(2)) GRS 2/9b (Item b(2)) Status: Final 7/31/2009	
403-256 122	PERS 122 a, b	Supervisors' Personnel Files and			
403-256 541	CIVL 541 >	<u>Equal Employment Opportunity (EEO) Records</u>	Item a: Disposable Destroy 4 years after resolution of case.	GRS 1/25 Status: Final	
403-256 546		Personnel Counseling Records	Item a: Destroy 3 years after termination of counseling. Item b: Destroy when 3 years old.	GRS 1/26 Status: Final, 02/20/2007	

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404-141-02-01 141	CORR 141	<p><u>Controlled and Major Correspondence</u></p> <p>Item a(1): Senior officials and assistants to those officials - Nonelectronic</p> <p>Item a(2): Senior officials and assistants to those officials - Electronic</p> <p>Item a(3): Senior officials and assistants to those officials - Electronic copy of records transferred to the National Archives</p> <p>Item b: Other federal employees</p>	<p>Item a(1): Permanent Close inactive records at end of year. Transfer to the National Archives in 5 year blocks, 20 years after file closure.</p> <p>Item a(2): Permanent Close inactive records at end of year. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p>Item a(3): Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.</p> <p>Item b: Disposable Close inactive records at end of year. Destroy 10 years after file closure.</p>	N1-412-06-10 Status: Final, 2/28/2011	
404-141-02-04 109	ADMI 109 a, b	EPA Forms	<p>a: EPA form and documentation Includes instructions and documentation showing inception, scope, and purpose of the forms. Disposable Destroy 5 years after related form is discontinued, superseded, or canceled.</p> <p>b: Background materials Includes requisitions, specifications, processing data, and control records. Disposable Destroy when related form is discontinued, superseded, or canceled.</p>	GRS 16/3	
405 020		Contract Management Records Superfund Site Specific	<p>Item a: Destroy 30 years after file closure.</p> <p>Item b: Destroy 30 years after file closure.</p> <p>Item c: Destroy 30 years after file closure.</p>	N1-412-06-17 Status: Draft, 05/31/2007	

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405 036	BUDG 036	<p>Routine Procurement Files</p> <p>Item a(1)(a): Procurement organization copy of transactions that exceed the thresholds, dated on or after July 3, 1995 Includes transactions and related papers that exceed the simplified acquisition threshold of \$100,000 and all construction contracts exceeding \$2,000.</p> <p>Item a(1)(b): Procurement organization copy of transactions below the thresholds, dated on or after July 3, 1995 Includes transactions and related papers at or below the simplified acquisition threshold of \$100,000 and all construction contracts at or below \$2,000.</p> <p>Item a(2)(a): Procurement organization copy of other transactions, dated earlier than July 3, 1995 Includes transactions and related papers that utilize other than small purchase procedures and all construction contracts exceeding \$2,000.</p> <p>Item a(2)(b): Procurement organization copy of other transactions, dated earlier than July 3, 1995 Includes transactions and related</p>	<p>Item a(1)(a): Destroy 6 years, 3 months after file closure.</p> <p>Item a(1)(b): Destroy 3 years after file closure.</p> <p>Item a(2)(a): Destroy 6 years, 3 months after file closure.</p> <p>Item a(2)(b): Destroy 3 years after file closure.</p> <p>Item b: Destroy when funds are obligated.</p> <p>Item c: Destroy upon termination or completion.</p> <p>Item d: Destroy 5 years after file closure.</p>	GRS 3/3 Status: Final, 11/30/2009	